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**Abstract:**

Atomic layer deposition (ALD) is potentially a very suitable deposition technology to grow ultra thin films with excellent thickness control, good conformity on high aspect ratio structures, and less defects. Al<sub>2</sub>O<sub>3</sub> and HfO<sub>2</sub> are well-established high-k materials to replace SiO<sub>2</sub> in transistor and capacitor applications. To grow high quality ALD films with low leakage current, high breakdown electric field and dielectric constant, it is important to understand the impact of both plasma enhanced ALD (PEALD) with O<sub>2</sub>-plasma and thermal ALD with H<sub>2</sub>O on the interface between ALD film and substrate surface, and also the impact of the interface on the quality of ALD films.

We present the electrical and chemical characterizations of Al<sub>2</sub>O<sub>3</sub> and HfO<sub>2</sub> films directly grown on Au, Ti and TiN surfaces. Metal Insulator Metal (MIM) capacitors with 10nm of Al<sub>2</sub>O<sub>3</sub> or 10nm of HfO<sub>2</sub> as a dielectric layer were realized. Our results show that (1) the Al<sub>2</sub>O<sub>3</sub> film grown by TMA metallic precursor and O<sub>2</sub>-plasma has the highest breakdown electric field of 6.74 MV/cm, and the lowest leakage current of 8.6e-8 A/cm<sup>2</sup> at 2 MV/cm, which indicate that this 10nm of Al<sub>2</sub>O<sub>3</sub> layer is high quality dielectric film with low pin-hole density and defects; (2) the HfO<sub>2</sub> film grown by TEMAH metallic precursor and H<sub>2</sub>O has the lowest breakdown electric field of 3.95 MV/cm, and the highest leakage current of 7.6e-7 A/cm<sup>2</sup> at 2 MV/cm, which indicate that this 10nm of HfO<sub>2</sub> film has more pin-holes and defects; (3) the Al<sub>2</sub>O<sub>3</sub> film grown by TMA and H<sub>2</sub>O, and the HfO<sub>2</sub> film grown by TEMAH and O<sub>2</sub>-plasma have the breakdown electric fields of 6.56 and 4.28 MV/cm, and the leakage currents of 2.40e-7 and 2.33e-7 A/cm<sup>2</sup> at 2 MV/cm, respectively; (4) both the Al<sub>2</sub>O<sub>3</sub> and HfO<sub>2</sub> films grown by the PEALD with O<sub>2</sub>-plasma show better qualities than that grown by the thermal ALD with H<sub>2</sub>O; (5) the Al<sub>2</sub>O<sub>3</sub> and HfO<sub>2</sub> with O<sub>2</sub>-plasma processes do not show plasma-induced damage based on the tests of Van der Pauw (VdP) samples made from InGaAs-InAlAs layer structure with channels buried ~ 30 nm from the surface.

To further investigate, understand and optimize the ALD processes, Auger energy spectroscopy (AES) and high-resolution scanning Auger microscope (SAM) are used to analyze the chemical compositions and distributions in the interface between the ALD films (Al<sub>2</sub>O<sub>3</sub> and HfO<sub>2</sub> grown with O<sub>2</sub>-plasma and H<sub>2</sub>O) and the metal surfaces (Au, Ti and TiN) without exposing the ALD films to air.